

EXPRESS MAIL LABEL NO.: EV331726935US DATE OF DEPOSIT: JULY 29, 2003

I HEREBY CERTIFY THAT THIS PAPER IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE EXPRESS MAIL POST OFFICE TO ADDRESSEE SERVICE UNDER 37 CFR SEC. 1.10 ON THE DATE INDICATED ABOVE AND IS ADDRESSED TO: COMMISSIONER FOR PATENTS, P.O. BOX 1450, ALEXANDRIA, VA 22313-1450; MAIL STOP PATENT APPLICATION.

Karen Orzechowski
Name of Person Mailing Paper

Karen Orzechowski
Signature of Person Mailing Paper

Inventors: Alan D. Boulanger, Robert W. Danford, Kevin D. Himberger,
Clark D. Jeffries and Raj K. Singh

5 **METHOD, PROGRAM AND SYSTEM FOR AUTOMATICALLY DETECTING
MALICIOUS COMPUTER NETWORK RECONNAISSANCE**

BACKGROUND OF THE INVENTION

1. **TECHNICAL FIELD**

The present invention relates to computer networks in general and, in particular,
10 to an intrusion detection system that protects such networks from malicious attacks
launched by hackers.

2. **PRIOR ART**

The worldwide web (WWW) better known as the Internet is fast becoming the
premier computer network for communicating both private and public information. The
15 Internet is an open network that can be accessed by anyone using primarily a protocol
called TCP/IP (Transmission Control Protocol / Internet Protocol) or other protocols.
Because of its openness computers on private networks (intranets) are susceptible to

malicious attacks by hackers. Computers have become the main instrument of communication for business and government agencies. For example, many business and government agencies use computers and computer networks to link remote offices, share data and other resources among employees within an office or campus,

- 5 communicate with customers via electronic mail, reach new customers via electronic mail, provide information via web sites, etc.

Because businesses, governments and individuals rely heavily on computers and the Internet malicious attacks could result in catastrophic economic loss or embarrassment. As a consequence computer security has become a major concern of
10 business, government and individuals using the computer as a major communication vehicle.

There are several ways in which hackers may elect to inflict malicious attacks on computers. One way is to disrupt computers' operation by disseminating programs that take unauthorized control of a computer's operating system. Another way is to discover
15 confidential information about assets in the computer or a subnet in the network for the purpose of deleting data, modifying data and/or copying data. Any of these actions could adversely affect a home, business, or governmental agency network.

To carry out these attacks a hacker or attacker may wish to obtain information by corrupting a normal Transmission Control Protocol (TCP) session-opening handshake.
20 In this regard, the attacker may initiate a TCP session by sending a Synchronize (SYN) packet from User Space (that is, User as opposed to Kernel mode in the Operating System). The resulting SYN packet is not different from legitimate traffic; so it will pass firewalls and be accepted by the victim or scanned host, if the TCP Destination Port is

open (that is, the host is programmed to reply to TCP SYN packets arriving with the given port number). Therefore, open ports on the scanned host will reply with a TCP packet with both the SYN and Acknowledgment (ACK) bits in the TCP header set (equal to 1 as opposed to 0). This reply is called a SYN/ACK. A port that is not

5 programmed to respond is called closed, and typically the host will respond with a TCP packet in which the Reset (RST) bit has been set. Upon receiving a RST response, the attacker will typically record (possibly with automatic software freely available on the Internet) the fact that a given TCP port at a given Internet Protocol (IP) Destination Address is closed, or simply do nothing. However, if there is a SYN/ACK response
10 from the victim, the attacker will know that he has found an open port that may be susceptible later to an actual attack. To try to avoid detection by some logging tools and suspicion by the victim host, the attacker might immediately responds with a RST packet. Another reason to respond with a RST quickly is to ensure that the victim's computer does not crash due to an excessive number of half-open connections. In
15 doing so the attacker does no damage to the scanned computer and can continue to scan, thereby fulfilling the goals of attacker reconnaissance. At the same time, the goals of the subnet administrator include avoiding release of information about open ports and applications running in the subnet.

The prior art has recognized the importance of computer networks and has
20 provided intrusion detection systems to protect them from hackers. Examples of prior art intrusion detection systems can be found in U.S. Patents 6,477,651; 6,363,489; 6,405,318; 6,275,942; 5,991,881 and 6,282,546. Even though the respective intrusion detection systems described in each of the patents works well for its intended purpose,

for the most part most require the insertion of a marker into the network traffic in order to detect surreptitious activities, such as scanning, or reconnaissance in the network. In several situations it may be difficult to use the marker. Therefore, an alternate technique to detect scanning reconnaissance is desirable.

5

SUMMARY OF THE INVENTION

It is believed that most unauthorized entries are done in two stages, namely: reconnaissance and attack. During the reconnaissance stage information about computers is gathered. The gathered information is used in the attack stage to disrupt
10 computing activities.

The present invention detects unauthorized users or scanning during the reconnaissance stage and takes corrective action set forth herein. In particular, the present invention uses detection of a predefined sequence of TCP packets to determine that the network is being scanned.

15 In accordance with the present invention, network traffic is monitored to detect a triplet (3) of packets flowing between a Source Address (SA) and a Destination Port (DP). The SA can be the 32-bit value of Internet Protocol version 4 (IPv4) or the 128-bit value of Internet Protocol version 6 (IPv6). The triplet of packets are: SYN, SYN/ACK and RST. Once the triplet of packets is detected in the stated sequence, the
20 SA associated with these packets is identified as that of the hacker. Even though these packets are legitimate TCP/IP packets, they are not expected to be seen in the stated

sequence (triplet). Therefore, their presence is used to identify the source originating the SYN and RST packets and receiving the SYN/ACK packet as the hacker.

The detection mechanism includes a look-up table having a plurality of locations. Each location is provided with a Source Address (SA) slot in which SA is written and a
5 two-bit indicator slot for recording state information. The state information relates to the order in which the triplets TCP/IP packets SYN, SYN/ACK and RST are seen at the monitoring point in the network. In the specific embodiment 00 indicates initial or default state; 01 indicates SYN packet; 10 indicates SYN/ACK packet; and 11 indicates RST packet. The 11 state is the alarm state in which an administrator is notified that a
10 specific source Address is engaged in reconnaissance. In addition, other preventative measures may be taken.

A look-up device (including a general processor or specialized processor, such as an IBM PowerNP network processor, executing algorithms discussed herein) dynamically adjusts state and/or SA information in the table to select and report SA
15 having the 11 state condition. In addition, the algorithm uses a hash of the four-tuples (SA, DA, SP, DP) of a received packet, called a key, to access the table for a SYN or RST packet. A hash of the reflection of the four-tuples (SA, DA, SP, DP) (the reflection being defined in the invention as the four-tuple (DA, SA, DP, SP) obtained from the original SYN packet (SA, DA, SP, DP)) is used for the SYN/ACK packet.

20 Further features and advantages of the invention as well as the structure and operation of various embodiments of the invention are described in detail below with reference to

the accompanying figures.

BRIEF DESCRIPTION OF THE DRAWINGS

Figure 1 shows high level block diagram of a network and in particular some
5 potential logical locations to position the present invention as detection mechanism.

Figure 2 shows high level block diagram of components needed to implement
the present invention.

Figure 3 shows a flowchart for the DETECTION algorithm of the present
invention.

10 Figure 4 shows a flowchart for the PURGE algorithm by which the memory used
in the present invention is periodically purged.

Figure 5 shows a flowchart of actions to be taken in responding to an ALERT
indication.

Figure 6 shows a flowchart for the DETECTION Algorithm with SA Check, an
15 alternative embodiment of the present invention.

Figure 7 shows a format for TCP/IP packet.

Figure 8 shows a graphical representation of the TCP Header Format.

Figure 9 shows a graphical representation of the IP header format.

Figure 10 shows a graphical representation of the look-up or histogram table
20 according to the teachings of the present invention.

Figure 11 shows IP flows of packets exchanged between a scanner and a target.

DETAILED DESCRIPTION OF EMBODIMENTS

Figure 7 shows a graphical representation of TCP/IP packet or frame 700 which includes a header portion 702 and a payload section 704. The TCP/IP format is well known in the prior art. Therefore, only the portion of the format which relates to the present invention will be discussed herein. The portion of the format which is relevant to the present invention is the header 702. The header section 702 includes both a TCP header and IP header.

Figure 8 shows TCP format 800. The TCP format 800 is well known in the prior art. Therefore, only the portions or fields of the header that are of interest to the present invention will be discussed herein. The relevant fields of the TCP format are: Source Port (16 bits), Destination Port (16 bits) and control 802. The control 802 is a set of six 1-bit flags that can be set to identify the type of packet that is being transmitted. The three flags of interest to the present invention are SYN, RST and SYN/ACK. For example, if the packet is a SYN packet which would be generated by a device, on the network, that wishes to establish a TCP/IP session, the SYN field would be set to a 1. Likewise, if the packet is a SYN/ACK packet which is usually returned as a response to a SYN packet the acknowledge (ACK) bit and the SYN bit would be set to 1 and so forth.

Figure 9 shows format 900 for the IP portion of the header. Similar to the other header format, the IP format is well known in the prior art. Therefore, only the fields in the header that are relevant to the present invention will be described. The fields of

interest are Source IP Address (32 bits) and Destination IP Address (32 bits). The concatenation SA, DA, SP and DP is known as the four-tuple of the TCP packet.

According to the teachings of the present invention the four-tuple is fed to a hash function and the hashed values are used as location to index into a histogram or

5 look-up structure, to be discussed hereinafter for a SYN packet or RST packet. A reflection of the four-tuple (SA, DA, SP, DP) is also hashed in part of the invention and the hashed value used as location index into the look-up structure.

In addition to using the four-tuples and their reflection, the present invention monitors the network to detect a sequence of TCP/IP packets. The presence of these

10 three packets might indicate reconnaissance activities on the network. The three packets are all TCP/IP packets occurring in the following order (D1, D2 and D3):

D1. The first packet is a TCP SYN packet. Its Source Address (SA), Destination Address (DA), Source Port (SP), and Destination Port (DP) are recorded in the

15 four-tuple (SA, DA, SP, DP).

D2. The second packet is a TCP SYN/ACK packet. Its four-tuple consists of the same field values as the first packet but in the reflected order (DA, SA, DP, SP).

D3. The third packet is a TCP RST packet. Its four-tuple consists of the same field values of the first packet and in the same order as in the first packet, that is, (SA, DA, SP, DP).

5 Figure 10 shows look-up structure or look-up table or histogram 1000 according to the teachings of the present invention. Histogram 1000 is used to track the occurrence and order of the triplets on the network. Histogram 1000 includes section 1002 in which source addresses (SA) of devices such as a computer connected to the network are recorded and section 1004 a 2-bit code field for recording state information
10 is concatenated to the first section. The code bits are used to track triplets that are used to indicate illegal scanning if detected in relationship to the same source address (SA). In particular, 00 represents a default condition; 01 represents that a SYN packet has been observed; 10 indicates a SYN/ACK packet has been seen and 11 indicates an alarm condition; the third of the triplet has been seen. In addition, the SYN and RST
15 packets must originate from the same source address and the SYN/ACK packet must be a response to the SYN packet from the same source address. When all three packets have been seen relevant to the same source address then an alarm indicating that illegal scanning is being conducted on the network is initiated.

 Figure 1 shows a highly simplified network 100 in which the detection system
20 108 of the present invention could be implemented. The Internet or other network 102 connects to Edge devices 104. Each edge device might or might not contain an instance of the detection system 108. Edge devices also connect subnets 106. In

turn, two subnets might be connected by a Bridge device 110. A Bridge device might or might not contain an instance of the detection system 108. Because Edge devices, subnets and Bridge devices are well known in the prior art, further discussion of these entities will not be given.

5 Turning to Figure 11 for the moment, a graphical representation of two network devices operable positioned in the network of Figure 1 is shown. The device labeled “scanner” represents the hacker or device which is scanning to gather information from the device labeled “target”. The device labeled “target” includes the detection mechanism of the present invention. The flows or packets that are exchanged between
10 the scanner and target are labeled and the direction of the flow is shown by the arrow. In order to gather the information the scanner generates and issues the first of the triplets labeled SYN which is forwarded to the target. The target seeing the SYN packet issues a SYN/ACK packet to the scanner which issued the original SYN packet. On receiving the SYN/ACK packet the scanner would issue the packet labeled RST1. This
15 sequence of packet SYN, SYN/ACK and RST1 when detected in the recited sequence by the detection device in the target would very likely indicate that malicious scanning is being conducted in the network. The preventative measures set forth herein is practiced once this illegal sequence of packets are observed. It should be noted that if the scanner was a legitimate device on the network, then after receiving SYN/ACK from
20 the target it would issue the flow labeled Acknowledge (ACK). The flow’s SYN, SYN/ACK and ACK are legitimate TCP handshaking signals that are exchanged in order to establish a legitimate session between stations on the network. The description so far assumes that the port on the target through which the packets are

exchanged are open. However, if a port or ports on the target are closed then that port would issue the packet labeled "RST".

Figure 2 shows a block diagram for one embodiment of hardware used in detection system 200 which is labeled 108 in figure 1. Random Access Memory (RAM)

5 202 stores updates of information as included in the present invention. A Central Processing Unit (CPU) 204 has access to data stored at configuration in Read Only Memory (ROM) 206 to implement the algorithms of the present invention set forth herein and thereby update RAM. A Bus 208 is provided for communication of signals among the components. An Input/Out put (I/O) adapter 210 manages signaling to and
10 from external devices 212. The I/O adapter 210 might include a general purpose computer with monitor observed periodically by a human administrator. One of the devices 212 could be a device such as an adapter that detects packets on the network and forwards the packets to the CPU for further processing according to teachings of the present invention.

15 In an alternate embodiment one of the device 212 could be a special purpose computer such as the PowerNP developed and marketed by IBM. The PowerNP is a network processor that includes an Embedded Processor Complex (EPC) containing a plurality of processors that performs the necessary function to enable routing of a packet within a network. The PowerNP also includes storage in which the histogram
20 according to the teachings of the present invention could be stored. In addition, the algorithms described herein could be executed in the EPC. A more detailed description of the PowerNP is set forth in U.S. Patent No. 6,404,752 which is incorporated herein in its entirety.

The intrusion detection system of the present invention also includes algorithms which are described below. Before describing the algorithms several features of the invention that are used by the algorithms will be discussed. Let us defined the four-tuples of any TCP packet as the concatenation consisting of the IP Source

5 Address (SA) (32-bit or 128-bit, depending upon application of the invention to IPv4 or IPv6), the IP Destination Address (DA) (again, 32-bit or 128-bit)we, the 16-bit TCP Source Port (SP), and the 16-bit TCP Destination Port (DP) in the order: (SA, DA, SP, DP). Let the reflection of the four-tuple (SA, DA, SP, DP) be defined by (DA, SA, DP, SP). Note that the traffic in the two directions of a TCP session consist precisely of
10 some frames with a given four-tuple and other frames (in the opposite direction) with a four-tuple that is the reflection of the first four-tuple. Next let us define a reflect hash function to be defined as a mathematical map from the space of all possible four-tuples (96 bits) to the space of the same number of bits. The reflect hash applied to (SA, DA, SP, DP) yields (DA, SA, DP, SP), that is certain source and destination fields of both IP
15 and TCP headers have been interchanged.

In general, a lookup mechanism is any system or method that can record the experience of seeing a four-tuple, record an administratively-determined action for that arriving four-tuple at the first time it is encountered, and can reapply the same action for the same four-tuple (or a related action for the reflection of the four-tuple) if it is
20 encountered again. A lookup mechanism in a preferred embodiment will also have some mechanism for erasing from finite memory the record of those four-tuples and their actions that have not been encountered for a prolonged interval of time.

A lookup mechanism in the present invention takes the given four-tuple as a key

to find a leaf. Each leaf contains the full SA of the key and a State values that is 0 = Default, 1, 2, or 3 = ALERT (the same State values can of course appear in the form of binary numbers, namely, 00, 01, 10, and 11). Thus the input of the lookup is 96 bits and the output of the lookup is 32 bits for SA and 2 bits for State. The present

5 invention includes the following DETECTION and PURGE algorithms.

Referring to Figure 3, a flowchart is shown for the DETECTION algorithm included in the invention. As stated herein the algorithm can be efficiently executed in the PowerNP discussed above. In particular the algorithm is executed on the EPC (Embedded Processor Complex) shown in Figure 1 of U.S. Patent 6,404,752 and

10 incorporated herein by reference. The algorithm could also be executed on CPU 204. The start 302 of the algorithm is followed by the arrival of the next packet 304. The Internet Protocol (IP) packet is tested 306 for being SYN. If it is, then it is further tested 308 for being SYN/ACK packet. If it is, then the four-tuple is fed to the reflection hash 310 discussed herein. The reflected hash value is used in the lookup 312 that is done

15 in look-up structure 1000 (Figure 10). The State is tested 314 for being 1. If it is 1, then the State is set 316 to 2. Next the system returns to the next packet arrival 304. If in 314 the State is not 1, then the State is set to 0, 322. Next the system returns to the next packet arrival 304. In 308, if the packet is not SYN/ACK, then the algorithm branches to 320. The four-tuple of the packet leads to creation of an entry in look-up

20 structure 1000 labeled by the hash value. The entry contains the full SA and the State, which is set to 1. Next the system returns to the next packet arrival 304. If in 306 the packet is not SYN, then the packet is tested 326 for being RST. If the packet is RST, then the packet is sent to the Lookup 328 that is done in look-up structure 1000 (Figure

10). The state associated with the lookup is tested 330. If the State is 2, then State is set to 3, the ALERT State 332. This triggers a RESPONSE, described below. Next the system returns to the next packet arrival 304. If in 330 the State is not 2, then the State is set to 0, 342. Next the system returns to the next packet arrival 304. If in 326 packet
5 is not RST, then the packet is fed to lookup 340. Then the State is set to 0, 342. Next the system returns to the next packet arrival 304.

An alternate representation of the detection algorithm is set forth in TABLE I. The steps 1 through 15 are self-explanatory. Therefore, further description is not warranted.

TABLE I.

DETECTION Algorithm

1. A packet arrives
2. If the packet is not a TCP SYN packet, then goto 10.
- 5 3. If the packet is not SYN/ACK, then goto 8.
4. Feed the four-tuple in the packet to the reflect hash.
5. Lookup the reflected four-tuple and find its State.
6. If the State is not 1, then set the State = 0 and goto 1.
7. Set the State = 2 and goto 1.
- 10 8. In the Lookup mechanism, add the four-tuple with SA and State = 1 in leaf.
9. Goto 1.
10. If the packet is not RST, then goto 14.
11. Lookup the four-tuple.
12. If the State is not 2, then set State = 0 and goto 1.
- 15 13. A SYN, SYN/ACK, RST triplet has been observed, set State = 3 and goto 1.
14. Lookup the four-tuple.
15. Record the State as 0 and goto 1.

Referring to Figure 4, a flowchart 400 is shown for the PURGE algorithm included in the invention. The purge algorithm periodically deletes old information from
20 memories in a reasonable time such as 16 seconds that is larger than typical three-way TCP handshake duration. Typical values for Purge interval would be one or ten

seconds. The start 402 of PURGE leads to continuous running of a counter. It is periodically checked 404 for its value relative to a threshold. If comparison 406 shows the value is less than the threshold, then the system returns to await another periodic check. If comparison 406 shows the value is greater than or equal to the threshold,
5 then a certain fraction of memory such as 1/16 is completely erased 408. The erasure is done in round robin manner among fractions of memory. Next the counter is reset to zero 410. Next the system returns to 404 to await periodic checking of the counter value. The counter would be scaled so that the overall Purge interval might be about one or ten seconds.

10 An alternate representation of the Purge Algorithm is shown in TABLE II. The steps 1 through 5 of the Purge Algorithm is self-explanatory. Therefore, further description is not warranted.

TABLE II.

PURGE Algorithm

1. Periodically check the value of a continuously running counter.
2. If the value of the counter is less than a threshold, goto 1; else goto 3.
- 5 3. Delete a fraction such as 1/16 of all memory entries (occupied slots and leaf SA, State values).
4. Reset the counter value to zero.
5. Goto 1.

10 Referring to Figure 5, flowchart 500 for the RESPONSE to the ALERT (Figure 3) is shown. The invention includes several possible options for a RESPONSE when the ALERT pointer is newly set. RESPONSE starts 502 and awaits an ALERT indication. When an ALERT pointer arrives 504, the invention determines 506 by configuration whether or not a message is to be sent to an administrator. If yes, then the message is
15 sent 508. In either event, the invention next determines 510 by configuration whether or not future packets with the same SA, DA, DP are to be blocked. If yes, then blocking process is initiated 512. In either event, the invention next determines 514 by configuration whether or not the flow of future packets with the same SA is to be rate-limited. If yes, then rate-limiting process is initiated 516. In either event, the

invention next determines 518 by configuration whether or not some additional response measure is to be taken. If yes, then additional measure is initiated 520. In either event, the system returns 504 to await the next ALERT indication.

Referring to Figure 6, a flowchart 600 is shown for the DETECTION Algorithm

5 with SA Check, as may be used in an alternative embodiment of the present invention to reduce the likelihood of false positive ALERTs. In this alternate embodiment the lookup mechanism includes a direct table with each location of the table regarded as a leaf. The start 602 of the algorithm is followed by the arrival of the next packet 604. The packet is tested 606 to see if it is a SYN packet. If it is, then it is further tested 608
10 for being SYN/ACK. If it is, then the four-tuple is fed to the reflection hash 610. The reflected hash value is used in the Lookup 612. To provide look-up 612 the reflected hashed value is used as an index to access a location in the look-up table in Figure 10. The key SA and the leaf or location SA are compared 614. If they are not equal, then delete the slot entry and leaf 620. Next the system returns to the next packet arrival
15 604. If in 614 the key SA and the leaf SA are equal, then the State is compared to 1, 616. If the State is 1, then the State is set 618 to 2. Next the system returns to the next packet arrival 604. If in 616 the State is not 1, then the State is set to 0, 622. Next the system returns to the next packet arrival 604. In 608, if the packet is not SYN/ACK, then the algorithm branches to 624. The four-tuple of the packet leads to creation of a
20 leaf labeled by the hash value. The leaf contains the full SA and the State, which is set to 1, 624. Next the system returns to the next packet arrival 604. If in 606 the packet is not SYN, then the packet is tested 626 for being RST. If the packet is RST, then the packet is sent to the Lookup 628. The Lookup compares 630 the key SA and the leaf

SA. If they are not equal, then delete the slot entry and leaf 632. Next the system returns to the next packet arrival 604. If the key SA and the leaf SA are equal, then the State of the packet is compared to 2, 634. If the State is 2, then State is set to 3, the ALERT State 636. This triggers a RESPONSE, described herein. Next the system
5 returns to the next packet arrival 604. If in 634 the State is not 2, then the State is set to 0, 638. Next the system returns to the next packet arrival 604. If in 626 packet is not RST, then the packet is fed to Lookup 640. Next the key SA and the leaf SA are compared 642. If they are equal, then the State is set to 0, 638. Next the system returns to the next packet arrival 604. If in 642 the key SA and the leaf SA are not
10 equal, then delete the slot entry and leaf 644. Next the system returns to the next packet arrival 604. This concludes the detailed description of the present invention.

The foregoing is illustrative of the present invention and is not to be construed as limiting thereof. Although exemplary embodiments of this invention have been described, those skilled in the art will readily appreciate that many modifications are
15 possible in the exemplary embodiments without materially departing from the novel teaching and advanced use of this invention. Accordingly, all such modifications are intended to be included within the scope of this invention as defined in the claims.